

## INFORMATION DISCLOSURE STATEMENT

Applicant : Kurt E. English, et al.  
 App. No. : 10/663,193  
 Filed : September 16, 2003  
 For : METHODS FOR FACILITATING  
 PRIVATE FUNDING OF EARLY-  
 STAGE COMPANIES

I hereby certify that this correspondence and all marked attachments are being deposited with the United States Postal Service as first-class mail in an envelope addressed to: United States Patent and Trademark Office, PO Box 1450, Alexandria, VA 22313-1450, on

March 10, 2004  
 (Date)  
  
 Louis J. Knobbe, Reg. No. 18,780

Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Dear Sir:

Enclosed is form PTO-1449 listing 10 references. Copies of disclosed U.S. patents and/or publications are not included pursuant to PTO waiver of the requirement under 37 C.F.R. § 1.98(a)(2)(i) for applications filed after June 30, 2003. Copies of other references, if listed, are enclosed.

This Information Disclosure Statement is being filed before the mailing date of a final action under 37 C.F.R. § 1.113 and before the mailing date of a Notice of Allowance under § 1.311. A certification under 37 C.F.R. § 1.97(e) is set forth below. Thus, no fee is required as set forth in 37 C.F.R. § 1.97(c).

### CERTIFICATION UNDER 37 C.F.R. § 1.97(e)(1)

I hereby certify that each item of information contained in this Statement was first cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

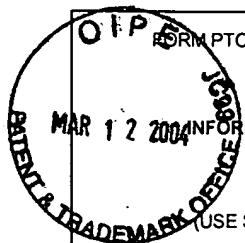
Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: March 10, 2004

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U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. ANGEL.001C1	APPLICATION NO. 10/663,193
APPLICANT Kurt E. English, et al.			
FILING DATE September 16, 2003		GROUP Unknown	

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
1.		5,680,305	10/21/97	Apgar, IV			
2.		5,970,464	10/29/99	Apte, et al.			
3.		6,236,977 B1	5/22/01	Verba, et al.			
4.		6,236,980 B1	5/22/01	Reese			

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
5.		WO 01/29751 A1	9/28/00	PCT				
6.		WO 01/20523 A1	3/22/01	PCT				

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
7.	"Special Features: Venture Capital in OECD Countries" Financial Market Trends, no. 63, February 1996; pg. 15-36
8.	CABLE, Daniel; SHANE, Scott; "A prisoner's dilemma approach to entrepreneur-venture capital relationships;" v22n1, pp. 142-176; mJanuary 1997; pg. 1-15
9.	CARTER, Richard; VAN AUKEN, Howard; "Venture capital firms' preferences for projects in particular stages of development;" Journal of Small Business Management, v32n1, pp. 60-73; January 1994; pg. 1-8.
10	MASON, Colin; HARRISON, Richard; "Why 'business angels' say no: A case study of opportunities rejected by an informal investor syndicate;" International Small Business Journal, v14n2, pp. 35-51, January-March 1996; 1-7

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EXAMINER	DATE CONSIDERED
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.	